

Missouri Historical Records Grant Program

2003-2004 Guidelines

Administered by the Missouri State Archives, Office of Secretary of State,
on behalf of the Missouri Historical Records Advisory Board

Made possible by funding from the National Historical Publications and Records
Commission,
the state of Missouri, and the Missouri State Documents Preservation Fund

Thank you for your interest in the third cycle of the Missouri Historical Records Grant Program.
Please carefully review this material regarding program components, microfilming requirements,
vendor information, and proper completion of the application.

You are encouraged to contact the grant staff before submitting your application.

E-mail grantprogram@sosmail.state.mo.us

Phone (573) 751-4303

Applications must be postmarked on or before February 16, 2004.

[Cycle Three Project Workshops Announcement](#)

[Cycle Two Projects](#)

[Cycle One Projects](#)

Missouri Historical Records Grant Program (MHRGP) Timeline

2003

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| October | Web-based guidelines and application materials are available for the program. Hard copy materials will be given on request. |
| November-December | Ten promotional “ <i>How-To</i> ” sessions that offer information on applying for MHRGP grants are held statewide. |

2004

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| February 16 | Postmark deadline for applications. |
| April | Review of applications and decision of awards by the Missouri Historical Records Advisory Board. |
| May | Beginning of grant project period and first payments to grantees. |
| May-June | <i>Preservation</i> training workshops are given in five locations throughout the state for grantees and interested members of the public. |
| August-September | <i>Introduction to Archives</i> training workshops are given in five locations throughout the state for grantees and the interested public. |
| October-November | <i>Arrangement and Description</i> training workshops are given in five locations throughout the state for grantees and interested public. |

2005

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| March 1 | Final reports, grant products, and financial documentation is due from grantees. Final grant payment will follow. Project period closes. |
| June | Missouri Historical Records Advisory Board meeting to evaluate the program. |
| June 30 | Missouri Historical Records Grant Program closes. |

What is the Missouri Historical Records Grant Program?

The Missouri Historical Records Grant Program was created through a collaborative effort among the National Historical Publications and Records Commission (the grant-awarding arm of the National Archives and Records Administration), the state of Missouri, and the Missouri State Documents Preservation Fund.

The program is administered by the Missouri State Archives, Office of the Secretary of State, on behalf of the Missouri Historical Records Advisory Board. Grants give financial assistance to preserve and make accessible Missouri's historical record and promote archival education and cooperation among records keepers.

What is the Missouri Historical Records Advisory Board?

The Missouri Historical Records Advisory Board was created by statute in 1989 and is assigned to the Office of Secretary of State. The board is the central advisory body for historical records planning and for projects relating to historical records, developed and carried out within the state of Missouri. The Missouri Historical Records Advisory Board (MHRAB) provides state-level appraisal of grant proposals submitted to the National Historical Publications and Records Commission (NHPRC) by Missouri repositories, and serves as the review and award panel for grant applications to the Missouri Historical Records Grant Program and the Local Records Preservation Program.

MHRAB members are appointed by the governor, with the advice and consent of the senate; and administrative responsibilities are handled by the secretary of state who is the board's coordinator. Federal regulations require members to have experience and interest in the collection, administration, and use of historical records, and a dedication to the preservation and access of Missouri's documented heritage. Over the years, archivists, curators, records managers, legislators, librarians and family historians have served on the board.

The board's priorities for the Missouri Historical Records Grant Program include:

- (1) Building a statewide cooperative records community;
- (2) providing outreach and educational opportunities for records keepers;
- (3) establishing priorities for records preservation projects; and
- (4) improving access to and encouraging use of Missouri's historical records.

What is the National Historical Publications and Records Commission?

The NHPRC is the grant-awarding arm of the National Archives and Records Administration, and as such supports a wide range of activities to preserve, publish, and encourage the use of documentary sources relating to the history of the United States.

Established by Congress in 1934, the Commission is a 15-member body, chaired by the Archivist of the United States and comprised of representatives of the three branches of the Federal Government and professional archivists, historians, documentary editors, and records administrators. The Commission meets twice each year to establish policy and recommend to the Archivist of the United States grants it believes should be funded from an annual congressional appropriation.

For more information, contact NHPRC staff:

National Historical Publications and Records Commission
National Archives and Records Administration
700 Pennsylvania Avenue
Washington, DC 20408
(202) 501-5610
<http://www.archives.gov/grants/index.html>

What is the Missouri State Archives?

Created in 1965, the Missouri State Archives is the official repository for government records of permanent value. Its mission is to foster an appreciation of Missouri history and illuminate contemporary public issues by preserving and making available the state's permanent records to its citizens and their government.

What organizations may apply to the Missouri Historical Records Grant Program?

Eligible institutions include historical, ethnic and religious societies, museums, libraries, colleges, universities, and others whose archival collections or records of historical value are open to the public on equal terms for everyone.

Applicants must be located in Missouri.

Local government entities are ineligible to apply, as the Missouri State Archives Local Records Preservation Program offers direct help for records preservation and management to all jurisdictions supported by tax levies. Court records are not eligible for this program nor are the records of state or federal agencies.

What projects are eligible for funding?

Broadly: the collection, description, preservation, compilation, and publication of documentary sources significant to the history of Missouri or the United States.

Specifically:

- Archival preservation and processing of records for access (purchase of storage boxes, protective enclosures, and other supplies/materials, as well as the microfilming of records);
- Developing or updating descriptive systems for increased use of records by the public (an index, guide, or listing of records);
- Creating and developing archival programs resulting from professional review;
- Funding a professional review. (Note: when applying for a consultant grant, the applicant must contact the consultant prior to the application deadline so that the consultant's cost estimate is included in the proposed budget, and the consultant's resume is submitted with the application for verification of professional practices.)
- Promoting the use of records by teachers, students, and the public; and
- Any of the above project descriptions applied to manuscripts, personal and family papers, or organizational archives; collections of photographs, motion pictures, sound recordings, news

film, and such visual materials as unpublished architectural, cartographic, and engineering drawings.

What projects are not eligible for funding?

- Single project awards exceeding \$20,000 and multiple awards totaling more than \$20,000 for one institution;
- Projects to support work on records created by the state of Missouri;
- Microfilming to preserve periodicals, such as newspapers;
- Purchase of equipment such as microfilm readers, reader/printers, or environmental control devices, including humidifiers and fire-suppression systems; and
- Purchase of shelving.

Additionally:

- Undertaking an arrangement, description, or preservation project involving federal government records that are:
 - (1) in the custody of the National Archives and Records Administration (NARA) or
 - (2) in the custody of some other federal agency; or
 - (3) have been deposited in a non-federal institution without an agreement authorized by NARA. Note: Many federally funded activities not directly undertaken by the federal government produce documents that may in law be considered federal records; including records produced under federal contracts or grants.
- Undertaking historical research apart from the editing of documentary publications;
- Acquiring, preserving, or describing books, periodicals (including the microfilming of newspapers), or other library materials;
- Construction, renovation, furnishing, or purchasing a building or land;
- Purchasing manuscripts or other historical records;
- Conserving or exhibiting archaeological artifacts, museum objects, or works of art;
- Acquiring, preserving, or describing art objects, sheet music, or other works primarily of value as works of art or entertainment;
- Undertaking an oral history project unrelated to Native Americans;
- Undertaking an editing project to publish the papers of someone who has been deceased for less than ten years;
- Undertaking a project centered on the papers of an appointed or elected public official who remains in major office, or is politically active, or the majority of whose papers have not yet been accessioned in a repository;
- Undertaking a project to convert documentary materials and existing finding aids to electronic form;
- Undertaking a records-management project without an archival component or objective;
- Processing documents, a major portion of which will be closed to researchers for more than five years, or not be accessible to all users on equal terms, or will be in a repository that denies public access;

- Undertaking an arrangement, description, or preservation project in which the pertinent documents are privately owned or deposited in an institution subject to withdrawal upon demand for reasons other than requirements of law;
- Salary for staff positions, or payment to lobbyists;
- Awarding prizes/acknowledgements or supporting fundraising activities such as benefits and socials;
- Funds to support archival training and educational outreach that will not be open to the public; and
- Funds to support activities having a religious purpose, or funds to cover expenses incurred prior to the grant period.

What is the maximum grant request and how much should the organization contribute to the project?

The maximum grant request per project is \$20,000. Also, if a single institution is applying for more than one grant, that institution will not be granted more than \$20,000 in combined awards.

The MHRGP will support 100% of the total costs for projects between \$500 and \$5,000.

For projects over \$5,000 the MHRGP will fund 70% of the project and the applicant must contribute a minimum of 30% in cost-sharing match with 10% of the total project cost in cash match. Applicants having a higher percentage of cash cost sharing will be given preference when all other award criteria are equal.

What is a Cash Match?

Cash matching requires that the entity spend money. In cash matching, money changes hands and must be documented with canceled checks and/or paid cash receipts. Documentation of cash match must be maintained and readily available for audit purposes until June 1, 2008. A regular staff member working on grant-related tasks outside of his/her normal duties, may count the value of that time as a cash match. **As part of the application, the applicant must provide a certification statement that the necessary cash match will be provided.**

What is an In-Kind Match?

The basic rule to follow is: What would it cost if it weren't free? If a third party donates supplies, utilities, or space and no cash changes hands, the value of that third party contribution may be counted as an in-kind contribution. Volunteer services provided by individuals are in-kind contributions.

REMEMBER: If any entity money is spent, then it is a cash contribution (cost share). An in-kind match is a third party donation.

How does the MHRAB decide which organizations receive grants?

The MHRAB will evaluate applications based on the following criteria: **historical value of the records; the organization's commitment to professional practices; the organization's ability to maintain achievements; and a demonstrated need for outside funding.**

All complete applications received by deadline will be reviewed by program staff for relevancy to the objectives of the program, conformity to application requirements, soundness of budget, and completeness. Incomplete applications will *not* be extended to the Missouri Historical Records Advisory Board.

Each complete application will be forwarded to MHRAB members for review. If any member of the MHRAB is closely associated with an institution submitting an application, the following policy will govern:

Any MHRAB member shall abstain from reviewing or voting on proposals he/she is directly connected with through employment at the institution, will indirectly supervise the given project if funded, might serve as an unpaid consultant to the project, or is an officer of the institution submitting the proposal.

Such board members may not be physically present during board discussion of the proposal.

An MHRAB member may participate in discussion of, but not vote on, a grant proposal if s/he merely subscribes to membership in the organization submitting the proposal, but holds no office.

When will the applicant organization learn the status of its application?

The MHRAB will award grants in May 2004.

The grant staff will notify applicants in writing as soon as possible on behalf of the Office of Secretary of State whether a proposal has been funded or not. If you receive an award, you will be sent information about the operation of your project. Until you receive, sign, and return the agreement in your award packet, you should not begin work on the project.

You will receive a Notice to Proceed when all pre-requisites have been met. The date of the Notice to Proceed will be the start date for your grant award. Grantees may not use grant funds to pay expenses incurred prior to the official start date of the grant period or count any funds expended before the start of the grant period in the cost-sharing or matching categories.

How are grant funds awarded, what is the grant cycle and what is expected of the grantee during that time?

- The payment schedule will be included as a portion of the Notice to Proceed. At this time, grant staff predict that the first payment of 60% will be received by grantees in May 2004, with the remaining 40% payment being received following completion of the project and submission of reporting and financial documentation (between March 1 and May 31, 2005).
- May 2004 is the projected starting month for all grants. Projects will close March 1, 2005.
- During May and June 2004, five "Preservation" workshops will be given at different locations around the state for grant recipients. Attendance at these free workshops is required unless the organization maintains a full time professional archivist on staff.
- Mid-term Interim Reports are due from grant recipients by October 31, 2004.

- During August and September 2004, five “Introduction to Archives” training workshops will be given at different locations across the state. Attendance at these free workshops is required unless the organization maintains a full time professional archivist on staff.
- During October and November 2004, five “Arrangement and Description” training workshops will be given at different locations across the state. Attendance at these free workshops is required unless the organization maintains a full time professional archivist on staff.
- Final reports, grant products, and financial documentation must be received by March 1, 2005.
- Grantees who receive awards of more than \$5,000 will be required to submit Disaster Preparedness Plans and Collections Policies with their Final Report.
- Any changes in the project, including changes in personnel, must be submitted in writing to the grant staff. Personnel change examples include: change of authorizing official, project contact person or other project staff carrying out specific project assignments, and changes of address, telephone or fax numbers for any of the above. Programmatic change examples include: altered dates, added or deleted record series from microfilming projects, modifications to the scope of the awarded project, and deleted project components or activities.
- Submission of documentation such as consultant reports, copies of finding aids, manuals, etc. produced as a result of grant funding, are required with Final Reports.
- Recipients of microfilming grants must supply Finding Aids to their filmed collections along with their Final Reports. The microfilming process and resulting product must adhere to Missouri State Archives’ standards, which exceed those of the American National Standards Institute (ANSI).
- Grant work will be monitored while in progress. Program staff, Local Records Field Archivists, or MHRAB members may make a site visit for review at any time during the grant cycle.
- An evaluation conference is scheduled at the Secretary of State’s Office in Jefferson City to close the program during June 2005. Experiences will be shared to define what worked when grantees applied training, formal education, professional advice, or new materials to their collections.

What credit line should be used for publicity?

The MHRGP encourages organizations to publicize grant awards. The credit line should read: “This project is funded by the state of Missouri, the State Documents Preservation Fund, the National Historical Publications and Records Commission, and is supported by the Missouri State Archives, a division of the Office of Secretary of State.”

The MHRGP welcomes copies of one or more photographs (preferably 8x10 inch black-and-white “glossies”) of project activities, and would appreciate a Xerox copy of publicity generated in your community.

What are the accounting and auditing requirements?

- Grantees must keep financial records for each grant in accordance with generally accepted accounting principles (GAAP). In other words, grantees must be able to show in a clear and understandable manner how money was spent. Accounting and other program records are considered public records and are subject to inspection and audit by Secretary of State staff and members of the MHRAB during regular business hours (between 8:00 a.m. and 5:00 p.m. on weekdays) throughout the grant period and until June 2008. If any litigation, claim, or audit is begun before June 2008, the records must be retained until such proceeding is resolved. The grantee is responsible for ensuring that grant program staff receive copies of the audit report for any audit performed during the grant period or until June 30, 2008.
- Grant money must be deposited in an auditable, interest-bearing account, and interest received should be applied to the project.
- While the grantee cannot invoice expenses incurred before the grant period begins, expenses incurred after the issuance of the notice to proceed, but before the monies are available, are allowable.
- Grantees must submit documentation for in-kind and cash-match contributions with Interim and Final Reports.
- Any item or service costing more than \$3,000 will require the solicitation of at least three bids. If you do not receive three bids, proof that a bid was requested will be sufficient. (If a vendor does not respond to a bid request, a “no-bid” response by a vendor may be counted towards the requirement for three (3) competitive bids provided that the “no bid” vendor(s) could have reasonably been expected to submit a bid.) Documentation regarding bids must be submitted with program reports.
- Grantees must comply with state and federal laws that apply to purchases made by the Office of Secretary of State. These provisions include Chapter 34, RSMo; 36 CFR 1207, and 36 CFR 1210 (for non-profits).
- Budget revisions are permitted only with official approval from the Missouri Historical Records Grant Program under the following conditions: The original award amount is not exceeded; all applicable match requirements are met; and a written request is submitted on a Request to Revise form which identifies the budget categories and/or budget line items to be reduced/increased and by what amount; the reason or need for the revision; and the total dollar amount of funds to be reallocated. The Missouri Historical Records Grant Program must approve a budget revision prior to expenditure of the desired funds.
- It will be very difficult to extend projects; however, if extenuating circumstances occur such as *significant and unavoidable* implementation difficulties, grantees should contact grant staff as soon as possible. Grantees should put all effort into avoiding the need for an extension request.
- The grant staff will notify the grantee of default in writing.

Microfilming

Microfilm is miniaturized images of paper records photographically reproduced on roll film. It is the same basic process as conventional black and white photography - silver compounds in gelatin emulsion on a film base are exposed to visible light. Microfilm processed according to accepted standards, which produces a clear, accurate and permanent reproduction of the original, can be deemed an original record and admissible evidence in courts and administrative agencies.

Not all microfilm is created equal. The MHRGP microfilming process and resulting product must adhere to Missouri State Archives' standards, which exceed those of the American National Standards Institute (ANSI). This fact must be shared with your vendor so that the contractual agreement reflects the vendor's ability to meet standards as set forth in Missouri Statute RSMo 109.241 (4).

Not all records are eligible for grant-funded microfilming – only those that meet certain conditions. Also, microfilm projects are awarded only for specified, eligible record series; any changes or additions in the series of records to be filmed must be requested in writing and approved by the Grant Administrator in advance.

Periodicals (newspapers and journals) are ineligible for grant-funded microfilming.

The following should be considered when deciding whether to apply for a microfilm project:

- Quality of the records: Provide evidence of the historical significance of the records to the institution, community, region, state, or nation and verify that microfilmed copies do not already exist in other Missouri repositories.
- Preservation: Microfilming eliminates excessive wear on original records. The microfilm silver master stored under environmentally controlled conditions can retain uncorrupted information for an optimum life expectancy of 500 years.
- Improved access: Information on microfilm can be easily stored in a single location; immediate copies are readily available with a reader/printer; duplicate copies can be placed in several locations to improve public access and customer service; staff time is saved from repetitive information requests, allowing greater efficiency in serving the record needs of the public.
- File continuity: Information cannot be disorganized or lost.
- Security: A backup security copy for the paper records is provided; remote storage of silver masters provides protection against fire, water, and other disasters.
- Economy of space: Microfilming can reduce the space devoted to records storage needs by ninety-eight percent.

Guidelines for Working with Vendors

A microfilming cost estimate is necessary to complete the grant application. The volume of materials to be microfilmed must be determined and a cost basis established for a project filmed on 35mm roll film to produce one silver master and one diazo copy on open reels. A standard cost basis for microfilming is the cost per 1,000 images. Vendors can give you an approximate cost based on the estimated number of images. Consult the **Vendor List** to find potential vendors. Anything a vendor charges for consultation regarding the approximate cost, during the preparation of the application and prior to being awarded a grant and a Notice to Proceed, is considered a pre-grant expenditure that is not eligible for reimbursement with grant funds.

We encourage you to request a list of references, contact several at random, and check with your vendor regarding the following:

- Time estimate for completion.
- Are vendor personnel insured during on-site filming?
- Will documents be filmed on-site? If not, who pays for boxing the documents and transportation? If off-site, who is responsible for loss or damage in transit or while in vendor's possession?
- Verify that all open reel film will include appropriate labeling and targets; be at least $\frac{3}{4}$ full; not contain any plugs or fasteners; and be sequentially numbered.
- Ask if the vendor will treat your records in a confidential manner.
- If retakes are necessary, the vendor must re-film and splice, at no extra charge, the retakes on the proper roll with proper targets.
- If for any reason films do not meet ANSI and Missouri State Archives' standards, the vendor will re-film the records at no cost.
- Make sure the price includes the cost of the original film, filming, processing, and a duplicate roll.

A Field Archivist or other MHRGP staff MUST approve records preparation and complete a microfilming checklist before materials can be filmed. The checklist for each record series will be completed by the Field Archivist and mailed to the Grant Staff.

If your microfilm totals in excess of \$3,000, three Vendor Bids must be submitted to the Grant Administrator before the grantee may select their vendor.

The following outlines the typical steps in a microfilming project: note, some steps may be completed concurrently rather than in strict sequential order:

- MHRGP award letter states award amount;
- Agreement forms are signed and returned to MHRGP;
- Grantee evaluates microfilming bids and awards a vendor contract;
- *Microfilm Information Sheet* is sent to the Grant Administrator;
- Grantee prepares the records for microfilming;
- Grantee prepares various identification and informational targets for the records and contacts the Field Archivist for review of the targets;
- Targets are revised as necessary and approved;
- Field Archivist inspects the records and submits *Microfilm Checklist* from to MHRGP prior to the records release to the vendor for filming;
- Vendor films, develops, inspects, and produces duplicate film copies; silver masters are sent to MHRGP for quality control review; and
- **MHRGP completes technical inspection of the microfilm for density and resolution.**